

Ross Funds Group, LLC Jeffery L. Ross Chad Mullens

Emergency Cease and Desist Order

DATE: June 4, 2002 RESPONDENTS: Ross Funds Group, LLC, Jeffery L. Ross, and Chad Mullens, all of Wichita, Kansas ALLEGATIONS: In 2001 and 2002, respondents Ross and Mullens contacted Kansas residents and offered them the opportunity to invest in Ross Funds, LLC. Seven individuals invested approximately \$70,000. The investor funds were pooled in a "hedge fund" and were used for trading in the stock market. Neither Ross nor Mullens were registered as investment advisers or broker-dealers, and the investment program was not registered as a security under the Kansas Securities Act. ORDER: The respondents were ordered to cease and desist from transacting business in the State of Kansas as broker-dealers, agents, investment advisers, or investment adviser representatives without registration. They were also ordered to cease and desist from selling unregistered securities.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.